



Michael Watson SECRETARY OF STATE

Secretary of State's Office Securities Division Senior Attorney

The Securities Division is responsible for regulating both the sale of securities and the securities professionals who sell them. In addition, the Division works with federal and State prosecuting authorities to investigate and bring charges against violators of the State's securities laws. The Division carries out these functions under the authority granted to it by the Mississippi Securities Act. The senior attorney will be responsible for (including but not limited to):

- Representing agency in investigations
 - Interview witnesses and conduct on-the-record interviews
 - Assist with drafting of document production requests to registrants
 - Execute subpoenas for document requests for non-registrants
 - Coordinate review of files to determine issues and develop strategies for bringing violators into compliance and proceeding administratively when necessary
 - Assist investigators with legal matters as needed
- Administrative actions and settlements
 - Determine issues and develop strategy for bringing violators into compliance and for proceeding administratively when necessary
 - Prepare and obtain affidavits and interview witnesses
 - Draft pleadings, orders, and memoranda
 - Conduct research as necessary
- Make determinations on security status and draft no action letters
 - Evaluate request
 - Conduct research as necessary
 - Draft responses
- Monitoring federal securities laws and rules and regulations
- Speaking at investor education events and on Mississippi securities laws
- Serving as resource for staff and public regarding registration and licensing evaluations
- Special projects as assigned